

Form PTO-1449 (Rev. 8-83)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NO.	SERIAL NO.
 11/16/98 JC563 U.S. PTO		GRAFF-P2-98	09/134,453
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)		APPLICANT	
		Richard A. Graff	
FILING DATE		GROUP	
08/14/98		Unknown	

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

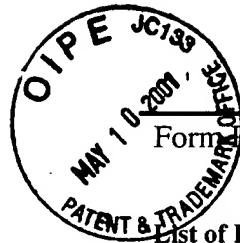
<i>NDR</i>	C1	Auster, "Amortizing Life Estates and Term Interests After the Revenue Reconciliation Act of 1989," <i>TAXES-The Tax Magazine</i> , 68, pp. 459-469 (1990).
<i>NDR</i>	C2	Auster and Lau, "Corporate Split Purchase Strategies," <i>TAXES-The Tax Magazine</i> , pp.857-865 (1998).
<i>NDR</i>	C3	Blum, "Amortization of a Retained Terminable Interest After Transfer of a Remainder," <i>TAXES-The Tax Magazine</i> , Vol. 62, No. 4, pp. 211-219 (1984).
<i>NDR</i>	C4	Booth, Cashdan and Graff, "Real Estate: A Hybrid of Debt and Equity," <i>Real Estate Review</i> , pp. 54-58 (1989).
<i>NDR</i>	C5	DeAngelo and Masulis, "Optimal Capital Structure Under Corporate and Personal Taxation," <i>J. of Financial Economics</i> , 8, pp. 3-29 (1980).
<i>NDR</i>	C6	Dohrmann, G., "Net Lease," <i>The Institutional Real Estate Letter</i> , Vol. 3, No. 9, pp. 1-7 (Sept. 1991).
<i>NDR</i>	C7	Graff, "Perspectives on Debt-and-Equity Decomposition for Investors and Issuers of Real Estate Securities," <i>J. of Real Estate Research</i> , Vol. 7, No. 4, pp. 449-467 (1992).
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INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)		APPLICANT	
		Richard A. Graff	
		FILING DATE	GROUP
		08/14/98	Unknown

1/18/1998
JC560 U.S. PTO

<i>NDR</i>	C9	Graff, "Some New Ideas in Real Estate Finance," <i>J. of Applied Corporate Finance</i> , 3:1, pp. 77-89 (1990).
<i>NDR</i>	C10	Graff, R., "The Impact of Tax Issues on Real Estate Debt and Equity Separation," <i>Real Estate Review</i> , 20:3, pp. 50-58 (1990).
<i>NDR</i>	C11	Leimberg, et al., "The Schnepper-Leimberg Joint Purchase of a Life Estate and a Remainder Interest," <i>Tax Notes Special Report</i> , Vol. 32, No. 10, pp. 981-984 (1986).
<i>NDR</i>	C12	Miller, "Debt and Taxes," <i>J. of Finance</i> , Vol. 32, No. 2, pp. 261-275 (1977).
<i>NDR</i>	C13	Modigliani and Miller, "Corporation Income Taxes and the Cost of Capital: A Correction," <i>American Economic Review</i> , 53, pp. 433-443 (1963).
<i>NDR</i>	C14	Modigliani and Miller, "The Cost of Capital, Corporation Finance and the Theory of Investment," <i>American Economic Review</i> , 48, pp. 261-297 (1958).
EXAMINER <i>Nicholas D. Rosen</i>		DATE CONSIDERED <i>May 16 2000</i>

*EXAMINER: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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Form PTO-1449 (modified)
List of Patents and Publications for Applicant's
INFORMATION DISCLOSURE STATEMENT
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Atty. Docket No. Graff-P2-98

Serial No.
09/134471

Applicant: Richard A. Graff

Filing Date:
August 14, 1998

Group:
2761

U.S. Patent Documents
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Foreign Patent Documents
See Page 2

Other Art
See Page 2

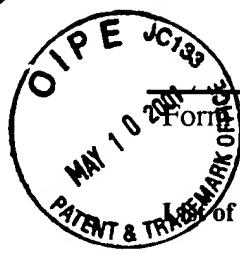
U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
NDR	A1	3,581,072	May 25, 1971	Auction Market Computation System	340	172.5	Mar. 28, 1968
NDR	A2	4,412,287	Oct. 25, 1983	Automated Stock Exchange	705	37	Sept. 15, 1982
NDR	A3	4,674,044	Jun. 16, 1987	Automated Securities Trading System	364	408	Jan. 30, 1985
NDR	A4	4,789,928	Dec. 6, 1988	Auction Information Transmission Processing	364	401	Jan. 30, 2987
NDR	A5	4,823,265	Apr. 18, 1989	Renewable Option and Marketing System	705	35	May 11, 1987
NDR	A6	4,903,201	Feb. 20, 1990	Automated Futures Trading Exchange	364	408	Nov. 3, 1983
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NDR	A10	5,101,353	Mar. 31, 1992	Automated System for Providing Liquidity to Securities Markets	705	37	May 31, 1989
NDR	A11	5,136,501	Aug. 4, 1992	Anonymous Matching System	364	408	May 26, 1989
NDR	A12	5,220,500	Jun. 15, 1993	Financial Management System	364	408	Sept. 19, 1989

EXAMINER: Nicholas D. Roper

DATE CONSIDERED: August 6, 2001

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of Patents and Publications for Applicant's
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Applicant: Richard A. Graff

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U.S. Patent Documents
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Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
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	B2						

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<i>NDR</i>	C1	"Electronic Bidding for Municipal Bonds: Technology Innovations for Competitive Bond Sales", Renata Morgenstern, Government Finance Review, Pgs. 23-25, February, 2000
<i>NDR</i>	C2	"In Today's Muni Market, Data Bases, Not Books, Provide Dealer, Clients With Timely Bond Data: Municipal Bond, Dealers Have Never Had it So Easy", Nicholas J. Dazzo, Public Finance Technology, Pg. 12A, Vol. 289, No. 28217, August 29, 1989
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<i>NDR</i>	C4	Richard Richtmyer, "Survey Shows The Bond Market is Warming Up to Electronic Trading", The Bond Buyer, Vol. 321, No. 30213, August 20, 1997

EXAMINER: *Nicholas D. Ross*DATE CONSIDERED: *August 9 6 2001*

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